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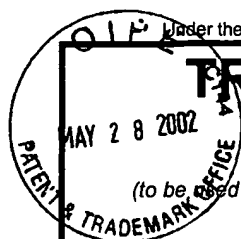


PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/004,301
Filing Date	Nov 2, 2001
First Named Inventor	Frey
Group Art Unit	
Examiner Name	
Attorney Docket Number	PLM007001

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Total Number of Pages in This Submission

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Postcard
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Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Richard A. Dunning, Jr.
Signature	
Date	5/22/02

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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: 5/22/02			
Type or printed name	Richard A. Dunning, Jr.		
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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Frey et al.

Art Unit :

Serial No. : 10/004,301

Examiner :

Filed : 11/2/2001

Title : DELEGATED AUTHENTICATION USING A GENERIC APPLICATION-LAYER NETWORK PROTOCOL

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Commissioner for Patents  
Washington, D.C. 20231

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Listed on an attached Form PTO-1449 is information known to applicant(s) and submitted pursuant to 37 C.F.R. §1.56. A copy of each listed publication and U.S. and foreign patent, except for pending U.S. applications, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

☒ This statement qualifies under 37 C.F.R. §1.97, because (check all that apply):

- ☐ (1) It is being filed within 3 months of the application filing date  
-- OR --
- ☐ (2) It is being filed within 3 months of entry of a national stage  
-- OR --
- ☒ (3) It is being filed before the mailing date of the first Office Action on the merits.

## CERTIFICATE OF MAILING BY FIRST CLASS MAIL

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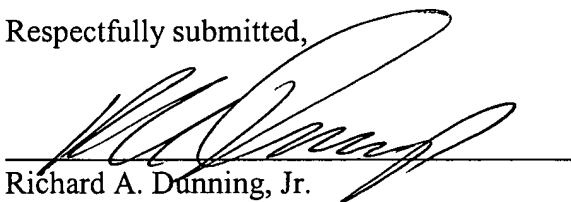
Typed or Printed Name of Person Signing Certificate

- ☐ 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:
- ☐ a certification as specified in §1.97(e) is provided below; **or**
- ☐ a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement
- ☐ 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:
- ☐ a certification as specified in §1.97(e) is completed below; **and**
- ☐ a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; **and**
- ☐ a fee of \$130.00 as set forth in §1.17(i) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ Statement under 37 C.F.R. §1.97(e) - I hereby certify that either: each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the information disclosure statement; or no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in section 1.56(c) more than three months prior to the filing of the information disclosure statement.

Date: 5/22/02

Law Office of Richard A. Dunning, Jr.  
325M Sharon Park Drive  
Suite 208  
Menlo Park, CA 94025  
Telephone: 650.234.1054  
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Respectfully submitted,

  
Richard A. Dunning, Jr.  
Attorney/Agent for Applicant(s)  
Reg. No. 42502



PTO/SB/08A (08-00)

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Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet

1

of

2

**Complete if Known**

Application Number

10/004.301

**Filing Date**

11/2/2001

**First Named Inventor**

Frey et al.

## Group Art Unit

Examiner Name

Attorney Docket Number

PLM007001

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner  
Signature

Date  
Considered

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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Application Number	10/004,301
				Filing Date	11/2/2001
				First Named Inventor	Frey et al.
				Group Art Unit	
				Examiner Name	
Sheet	2	of	2	Attorney Docket Number	PLM007001

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	C1	Kerberos Papers and Documentation, <a href="http://web.mit.edu/kerberos/www/papers.html">http://web.mit.edu/kerberos/www/papers.html</a>	
	C2	T. Dierks, et al., The TLS Protocol Version 1.0, <a href="http://www.ietf.org/rfc/rfc2246.txt">http://www.ietf.org/rfc/rfc2246.txt</a>	
	C3	Microsoft Passport Technical White Paper, March 2001, <a href="http://www.passport.com/downloads/TechnicalWhitePaper.doc">http://www.passport.com/downloads/TechnicalWhitePaper.doc</a>	
	C4	Netegrity SiteMinder® 5.0, <a href="http://www.netegrity.com/products/index.cfm?leveltwo=SiteMinder">http://www.netegrity.com/products/index.cfm?leveltwo=SiteMinder</a>	
	C5	IBM Tivoli Access Manager for Business Integration, <a href="http://www.tivoli.com/products/index/access-mgr-bus-integration/">http://www.tivoli.com/products/index/access-mgr-bus-integration/</a>	
	C6	IBM Tivoli Access Manager for e-business, <a href="http://www.tivoli.com/products/index/access-mgr-e-bus/">http://www.tivoli.com/products/index/access-mgr-e-bus/</a>	
	C7	IBM Tivoli Access Manager for Operating Systems, <a href="http://www.tivoli.com/products/index/access-mgr-operating-sys/">http://www.tivoli.com/products/index/access-mgr-operating-sys/</a>	
	C8	Oblix NetPoint™ Product Description, <a href="http://www.oblix.com/products/netpoint/net_description.html">http://www.oblix.com/products/netpoint/net_description.html</a>	
	C9	RSA ClearTrust Web Access Management for Secure e-Business, <a href="http://www.rsasecurity.com/products/cleartrust/">http://www.rsasecurity.com/products/cleartrust/</a>	
	C10	Baltimore SelectAccess Introducing SelectAccess 5.0, <a href="http://www.baltimore.com/selectaccess/index.asp">http://www.baltimore.com/selectaccess/index.asp</a>	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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